

1 Rules and Guidelines for the
2 Rhode Island State Publications Clearinghouse
3

4 Statutory authority: RIGL 29-7
5
6

7 SECTION 1: Rules
8

9 I. Clearinghouse Advisory Committee

10 A. There shall be a State Publications Clearinghouse Advisory Committee. The
11 Committee shall consist of eight (8) members, five (5) of whom to be selected
12 from the Clearinghouse member libraries and appointed by the State Librarian to
13 two (2) year terms. The State Librarian and the Director of the Clearinghouse shall
14 be ex-officio members of the Committee. The chairperson of the CRIARL
15 Government Documents Committee shall also be an ex-officio member.
16

17 B. The purpose of the Committee shall be to advise the State Librarian and the
18 Clearinghouse Director on the operation of the State Publications Clearinghouse
19 for Libraries. The Committee shall meet quarterly and shall elect a chairperson to
20 preside at meetings, and a secretary to record the meeting minutes and distribute
21 them to the Clearinghouse depository libraries.
22

23 II. State Agencies/Departments' Deposit of Publications

24 A. State agencies, departments, and commissions supported wholly or in part by
25 state funds are required by Title 29, Chapter 7, Section 5 of the Rhode Island

General Laws to deposit prior to public release a minimum of twenty-five (25) copies of their publications with the State Publications Clearinghouse

III. Publications Required to be Deposited

A. State publications include any materials published by authority of a state agency/department, regardless of the source of funds, which **are** ~~is~~ intended for distribution outside the agency/department and not published solely to meet the internal operational needs of the agency. State publications which are required to be deposited include, but are not limited to, technical papers, annual reports, financial reports, bulletins, special reports, newsletters, brochures, databases and other documents that would be of interest to the general public. Materials may be in any format, reproduced by any methods and may deal with any subject matter.

B. Informational materials specified by federal or state law to be distributed to the public fall under this definition and are required to be sent to the Clearinghouse

C. Electronic documents submitted to the Clearinghouse will be housed on a computer system administered by the Secretary of State's office. The Clearinghouse Director will maintain the documents and ensure that they are available to the Clearinghouse libraries. If an agency creates a document in a format that cannot be transferred to the Clearinghouse's server, then arrangements must be made so that the document can be appropriately distributed.

1 **D. Compliance with the Clearinghouse Laws and Regulations does not**
2 **mean that the Agency has complied with the record retention requirements**
3 **of RIGL 38-3.**

4
5 IV. State Publications not Required to be Deposited

6 A. Agencies/departments may publish some items ~~which~~ **that** are not appropriate
7 for deposit. These items would include internal memoranda, correspondence,
8 administrative forms, internal confidential documents, minutes of meetings,
9 blueprints, and internal announcements.

10
11 B. The ~~publications~~ **Documents** ~~liaison~~ ~~o~~Officer shall consult with the
12 Clearinghouse Director to determine if an item falls ~~under~~ **into** one of these
13 categories. An appeal to the State Librarian is an option for any agency/department
14 ~~which~~ **that** disagrees with the decision of the Clearinghouse Director.

15
16 V. Number of Copies to be Deposited

17 A. A minimum of twenty-five (25) copies of each publication are required to be
18 deposited with the Clearinghouse for distribution to depository libraries. At times,
19 more than twenty-five (25) copies of a publication will be necessary for
20 distribution. The Clearinghouse Director will advise appropriate ~~liaison~~
21 **Documents** ~~o~~Officers as to which publications fall ~~under~~ **into** this category.

22
23 B. Publications shall be deposited with the Clearinghouse prior to public release.
24 The documents may be delivered directly to the Clearinghouse or sent by any
25 other means available to the agency/department.

1
2 C. If any agency/department does not send a publication to the Clearinghouse the
3 agency will be notified.
4

5 **D. Electronic documents will be accepted in formats to be determined by**
6 **the Clearinghouse Director.**
7

8 VI. Publications Liaison Officers (Documents Officers) **Documents Officers**

9 A. A ~~publications (documents) liaison~~ **Documents** ~~Officer~~ shall be named by
10 each agency/department. It is appropriate for agencies/departments with many
11 sub-departments to name more than one ~~publications (documents) liaison~~
12 **Documents** ~~Officer~~ in order to facilitate the deposit of their publications.
13

14 **B. Designation of the Documents Officer**

15 **1. The head of each Overseeing Body (i.e. director of state agency, quasi**
16 **state agency, commission, etc) is responsible for designating a person to be**
17 **the Documents Officer for that body. The initial deadline for designation is**
18 **September 30, 2006.**

19 **2. The designation of the official Documents Officer must be submitted in**
20 **writing on the “Open Government Filing Coordinator Designation Form”**
21 **issued by the Secretary of State. This form must be re-submitted within**
22 **thirty (30) days of a change in the designation of the Documents Officer.**
23 **This form will be available online at the Secretary of State’s website**
24 **(www.state.ri.us). The designation must include the full name, mailing**
25 **address, phone number and email address for the Documents Officer. The**
26 **designation will be complete upon the confirmation of a valid email**

1 address by the Office of the Secretary of State. This information will need to
2 be updated within ten (10) days of a change in email address.

3 3. In the event that the designation of the Documents Officer cannot be
4 completed by the September 30, 2006 deadline, a designation of an Interim
5 Documents Officer will be accepted until the official ratification of a
6 Documents Officer can be completed by the head of the Overseeing Body,
7 but a Documents Officer shall be officially designated no later than
8 December 31, 2006. The Secretary of State will provide an interim
9 Documents Officer form.

10 4. It is the responsibility of the Overseeing Body to ensure that the
11 Documents Officer's information is up to date and accurate.

12 5. Upon the creation of a new Public Body, it is the responsibility of the
13 Documents Officer to notify the Secretary of State and provide all
14 pertinent contact information. Notification must be done through a form
15 issued by the Secretary of State.

16
17 ~~B. C.~~ The duties of the ~~publications liaisons officer~~ **Documents eOfficer** will be to
18 ensure that his or her agency/department deposits all publications that are
19 required to be deposited with the Clearinghouse

20
21 ~~C. D.~~ The Clearinghouse Director shall maintain an up-to-date list of ~~publications~~
22 ~~(documents) liaison~~ **Documents eOfficer**, and it will be the responsibility of the
23 agency/department to inform the Clearinghouse of any change in personnel.

24
25 VII. Index

1 A. Checklists shall be prepared quarterly by the Clearinghouse, and cumulated
2 annually. The Checklist will include: Main entry (author), title, date of publication,
3 date of shipment, receiving libraries, OCLC number, and SWANK number. **The**
4 **Checklist will be maintained dynamically on the Secretary of State's web**
5 **site so that users will have up-to-date information in regards to what is**
6 **being added in electronic form.**

7
8 VIII. Depository Libraries' Designation and Responsibilities

9 A. Depository libraries shall be designated by the Clearinghouse Director. Taken
10 into consideration when designating depositories will be location, size of
11 population served, space available in the library for state publications, and the
12 availability of a professional to take responsibility for the collection.

13
14 B. There shall be full depositories and selective depositories. Selective depositories
15 shall accept the designated core collection and then choose categories of
16 publications that meet their patrons' needs. Full depositories shall accept all state
17 documents.

18
19 C. Responsibilities of the depository libraries shall include:

20 —Provide space to house the documents; they need not be housed in a separate
21 collection.

22 —Maintain an orderly, systematic record of receipt of documents.

23 —Process and make available all state documents within a reasonable period.

24 —Provide bibliographic access to the depository's holdings.

25 —Assign the state documents collection to a professional librarian.

1 —Dispose of documents only in accordance with the established disposal
2 guidelines. (see section "H" in the Guidelines)

3 —Accept and maintain the core collection. (see Appendix A in the guidelines)

4 —~~Make~~ ~~Provide that~~ the documents ~~are~~ available to the public during all hours
5 **that** the library is open.

6 —Agree to permit the Clearinghouse Director to inspect the documents collection
7 periodically.

8 **—Provide access to electronic documents.**

9 10 IX. Designation Procedures

11 A. Libraries may apply to the Clearinghouse Director to be a full or selective
12 depository.

13
14 B. The Clearinghouse Director shall designate depository libraries and determine
15 ~~which~~ **whether they** will be full or selective depositories.

16 17 X. Termination of Depository Designations

18 A. A depository has the right to terminate its status as a depository by letter to the
19 Clearinghouse Director. However, all depository material remains the property of
20 the Clearinghouse and the library shall retain or dispose of the depository
21 documents only as instructed by the Clearinghouse Director.

22
23 B. The Clearinghouse Director may terminate the status of a library as a depository
24 upon proof of unsatisfactory performance. Written notification shall be provide to
25 the depository library director at least six (6) months prior to such action. A

1 depository which takes action to remedy unsatisfactory conditions may apply to
2 the Clearinghouse Director for a suspension or reversal of the decision to
3 terminate **depository** status. An appeal to the State Librarian is an option for any
4 depository ~~which~~ **that** disagrees with the decision of the Clearinghouse Director.

6 SECTION 2: Guidelines

8 I. State agencies/departments shall deposit with the Clearinghouse a minimum of
9 twenty-five (25) copies of their publications. State publications that are required to
10 be deposited are defined in Title 29, Chapter 7 of the Rhode Island General Laws
11 as "any publication regardless of physical form or characteristics produced, made
12 available electronically, printed, purchased or authorized for distribution by a state
13 agency, except those determined by the issuing agency to be required for official
14 use only for administrative or operational purposes." The Clearinghouse Director
15 ~~who is~~ in charge of the Clearinghouse will also attempt to identify new
16 publications through news releases, personal visits to agencies/departments and
17 through any other means available to him/her.

19 A. It will be the ~~librarian's~~ **Clearinghouse Director's** responsibility to be aware of
20 the frequency of regularly published documents and to see that the
21 agencies/departments are sent reminders of their responsibility to deposit
22 publications with the Clearinghouse

24 II. State publications ~~should~~ **will** be classified. The recommended system for
25 classifying separate state publications collections is the Swank classification

1 scheme specifically developed for state documents. In this scheme, Rhode Island is
2 ~~specifically~~ assigned number 39 as a state designation. The Clearinghouse should
3 input into OCLC full original cataloging in the MARC, format based on the latest
4 edition of AACR2.

5
6 III. The Clearinghouse will also be responsible for compiling and maintaining an
7 authority file of state agencies, citing the name of the agency as it is to be used for
8 cataloging. The authority file ~~should~~ **will** be based on the latest edition of AACR2.
9 Any necessary cross references and a brief history of the agency/department
10 ~~should~~ **will** also be included in this file. Authority file information ~~is~~ **will** also **be**
11 available and maintained on OCLC.

12
13 IV. A record of each document received by the Clearinghouse ~~should~~ **will** be kept
14 on the State Library's database. The record includes title of document, issuing
15 body, publication data, date distributed, receiving libraries, swank classification
16 and OCLC number. The records in the database will be used to generate shipping
17 lists and the quarterly checklists.

18
19 V. A quarterly checklist of state documents ~~should~~ **will** be prepared for
20 publication. The checklist will be prepared by the Clearinghouse Director. The
21 checklist will include the same information as the shipping list, but cover a three
22 month time ~~frame~~ **period**. The checklist will be sent to all libraries in the state, all
23 Rhode Island State Representatives and Senators, the Library of Congress, and any
24 other person(s) or agencies that may request it.

VI. Distribution of state publications will be the responsibility of the Clearinghouse staff. Agencies/departments should send their publications to the Clearinghouse prior to public release. After the Clearinghouse has recorded and cataloged the item, it will then distribute a copy of the publication to each designated depository library.

VII. A core collection of **printed** state documents will be designated to be held by all participating libraries. The libraries may then select categories of documents that meet the needs of their patrons. Some libraries will choose to be full depositories and as such will receive all state publications deposited with the Clearinghouse. The Clearinghouse Committee will review the core collection yearly. Any changes will be ~~mailed~~ **sent** out to **all** depository libraries. **"Core collection documents" means those public documents for which members of the public have the most significant and frequent need, as determined by the State Librarian, in consultation with state agencies and librarians. The following list of documents constitute the current core collection:**

Directory of City and Town Officials

Education Directory

General Laws of Rhode Island

Media Guide

Pocket Manual of Elder Services

Rhode Island Elected Officials

Rhode Island General Assembly & How A Bill Becomes A Law

Rhode Island Government Owner's Manual

Rhode Island Map and Visitor's Guide

Rhode Island Public Laws (includes Acts & Resolves)

1 **Rhode Island State Budget Documents**

2

3 VIII. Documents distributed to depository libraries shall remain the property of the
4 Clearinghouse. Permission from the Clearinghouse will be required in order to
5 dispose of them. Documents must be kept for five years from the date of receipt
6 unless superseded. ~~by another publication.~~ The superseded edition may then be
7 discarded. The State Library, Providence Public Library, and the University of
8 Rhode Island Library will retain all documents permanently except for ephemera
9 and transmittals.

10

11 IX. Reference and loan services ~~should~~ **will** be provided by the depository
12 libraries. A professional librarian ~~should~~ **will** be responsible for maintaining the
13 state documents collection in every depository library. The librarian ~~should~~ **will** be
14 responsible for providing reference service to patrons and for providing materials
15 for interlibrary loan. Interlibrary loan services ~~should~~ **will** follow established
16 guidelines and will conform to all forms currently in use in the state.

17

18 ~~X. Core Collection of Rhode Island State Publications~~

19 ~~Crime Prevention Resource Directory~~

20 ~~Directory of City and Town Officials~~

21 ~~Education Directory~~

22 ~~General Laws of Rhode Island~~

23 ~~Handbook of Licensed Occupations~~

24 ~~Landlord/Tenant Handbook (No longer printed. Now available online at~~

25 ~~<http://lori.state.ri.us/landlord/index.html>)~~

- 1 ~~Rhode Island Directory of City and Town Monographs~~
- 2 ~~Rhode Island Elected Officials~~
- 3 ~~Rhode Island Government Owners Manual~~
- 4 ~~Rhode Island Presiding Officers and Leaders~~
- 5 ~~Rhode Island Public Laws (includes Acts & Resolves)~~
- 6 ~~Rhode Island Public Schools: District Profiles ("Information Works")~~
- 7 ~~State Budget~~
- 8 ~~Uniform Crime Reports~~
- 9
- 10 Date of filing : ~~6/04/98~~_____